Performance Management Confirmation
Application Evaluation

Purpose

This tool is designed to be use by the Confirmation Review Group (CRG) to evaluate an applying agency's / institution's interim submissions and final application for performance management confirmation (PMC). The CRG is composed of performance management experts from agencies that have already received confirmation. Department of Personnel (DOP) staff will use the information provided by CRG members to provide feedback and input to the applying organization during their program development, and to summarize the CRG recommendations to the DOP Director on whether the applying organization should receive confirmation.

Instructions

The applying organization should respond to each of the questions in the attached table as part of the application. Use the standardized evaluation criteria and rating scale to assess the applying organization's proposal and provide feedback to the organization. Recommended and required actions will be considered by the DOP Director as part of any post-confirmation expectations.

The 1-5 scale is an anchored rating system for evaluating the organization's readiness to move forward. In most cases, the evaluator should feel comfortable giving a '3' (Solidly Completed) rating in each area.

<u>Scale</u>

1 – Nothing started
2 – Started, but not completed
3 – Solidly completed
4 – Above standard
5 – Innovative

First, Second, & Third Interim Report Questions	Final Application Questions	Final Application Evaluation Standards	Rating (1-5)	Strengths, Weaknesses, Suggested Actions (SA), Required Actions (RA)
Introduction				
	What are your organization's purpose, vision, mission, and values? What are your organization's main services and organizational structure? What are your organization's philosophy and goals around performance management?			
Performance Incentive Program				
Practices **First Interim Report** What performance based practices are you proposing for your performance incentive program? Your response should describe: • The specific performance incentive tools you are requesting permission to use for this program. • Your proposed type and amounts of incentives:, for example: • Dollar amounts or salary percentages for lump sum, goal sharing, and gain sharing programs. • Leave amounts for lump sum, goal sharing, and gain sharing programs. • Percentages and/or timeframes for accelerated/decelerated progression pay programs. • Benefits and/or penalties for layoff programs. • Award levels (if using an award program with multiple levels).	**Practices** What performance based practices are you proposing for your performance incentive program? Your response should describe: • The specific performance incentive tools you are requesting permission to use for this program. • Your proposed type and amounts of incentives, for example: • Dollar amounts or salary percentages for lump sum, goal sharing and gain sharing programs. • Leave amounts for lump sum, goal sharing, and gain sharing programs. • Percentages and/or timeframes for accelerated/decelerated progression pay programs. • Benefits and/or penalties for layoff programs. • Award levels (if using an award program with multiple levels). • What parts of your organization and which	**Practices** ❑ Details the specific tools being requested. ❑ Details which parts of the organization the program will be used in. ❑ Details which employees will and won't be eligible to participate in the program. ❑ Describes the desired impacts this program will have on organizational and individual performance. ❑ Types and amounts fall with scope allowed within the rules. ❑ Types and amounts of incentives are clear, specific, and transparent. ❑ Incentive levels are clear, specific, and transparent (if program uses multiple levels). ❑ Practices do not create undue risk to the liability, credibility and integrity of state government.		

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• What parts of your organization and which employees will be impacted by this program. • The desired outcomes you expect to achieve through this program. Include as attachments: • Copies of charts and/or tables detailing incentive types, amounts, and levels. **Second Interim Report** What updates/changes have you made to the proposed performance based practices? **Third Interim Report** What updates/changes have you made to the proposed performance based practices?	employees will be impacted by this program. • The desired outcomes you expect to achieve through this program. Include as attachments: • Copies of charts and/or tables detailing incentive types, amounts, and levels.			
Performance Criteria **First Interim Report** What performance criteria are you proposing for determining the incentive at each level established in your program. Include as attachments: • Copies of charts and/or tables detailing criteria for each level. **Second Interim Report** What updates/changes have you made to the proposed criteria? **Third Interim Report** What updates/changes have you made to the proposed criteria?	**Performance Criteria** What criteria are you proposing for determining the incentive at each level established in your program. Include as attachments: • Copies of charts and/or tables detailing criteria for each level.	**Performance Criteria** ❑ Criteria are clear, specific, and transparent. ❑ Different criteria for different levels are transparent (if using multiple levels) ❑ Criteria distinguishes exceptional performance from otherwise expected performance. ❑ Criteria distinguishes poor performance from otherwise expected performance (for decelerated pay or layoff penalty programs). ❑ Criteria describe exceptional performance in terms of real contribution to accomplishment of organizational performance. For example: ❑ Significant enhancement of client		

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		services, agency products, or mission. ❑ Contributions which result in substantial cost savings to the agency or increased revenues for the state. ❑ Exceptional effort and/or demonstrated efficiencies that lead to significant productivity improvements and/or measurable increases in the organization's output. ❑ Development of a technical advancement or operational breakthrough, which results in greater efficiency, increased productivity, staff reduction, and/or cost savings. ❑ Criteria can be applied to all employees regardless of work unit or job type. ❑ Does not create undue risk to the liability, credibility and integrity of state government.		
Recommendation & Approval Process First Interim Report What recommendation and approval process are you proposing for your performance incentive program? Your response should describe: • The process for supervisors to make incentive recommendations. • Who will evaluate and make final	**Recommendation & Approval Process** What recommendation and approval process are you proposing for your performance incentive program? Your response should describe: • The process for supervisors to make incentive recommendations. • Who will evaluate and make final determinations regarding incentives.	**Recommendation & Approval Process** ❑ Recommendation process is integrated with PDP process. ❑ Approval process includes at least one manager at one level above the sponsoring manager/supervisor. ❑ Recommendation and approval process are clear, specific, and transparent. ❑ Recommendation and approval process allow for timely determination of		

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determinations regarding incentives. • The process that will be used for evaluating recommendations. • The timeframes within which recommendations and determinations will be made. • How recommendations and determinations will be communicated to impacted employees. Include as attachments: • Program documentation detailing your recommendation and approval process. **Second Interim Report** What updates/changes have you made to the proposed recommendation and approval process? **Third Interim Report** What updates/changes have you made to the proposed recommendation and approval process?	• The process that will be used for evaluating recommendations. • The timeframes within which recommendations and determinations will be made. • How recommendations and determinations will be communicated to impacted employees. Include as attachments: • Program documentation detailing your recommendation and approval process.	incentives.		
Reconsideration Process **First Interim Report** What is your employee reconsideration process? Include as attachments: • Program documentation detailing your reconsideration process. **Second Interim Report** What updates/changes have you made to the proposed reconsideration process?	**Reconsideration Process** What is your employee reconsideration process? Include as attachments: • Program documentation detailing your reconsideration process.	**Reconsideration Process** ❑ Reconsideration process is clear, specific, and transparent. ❑ Reconsideration process allows for timely consideration and determination.		

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Third Interim Report What updates/changes have you made to the proposed reconsideration process?				
1. Executive Commitment				

N/A	How has your leadership demonstrated its commitment to a performance-based culture and successfully implementing a new performance management program?
	
	 Your response should describe:
	 • How your executive leadership has communicated it's commitment to successfully implementing the new performance management program.
	 • How your organization has allocated adequate resources to achieve performance management confirmation.
	 • How your organization has allocated adequate resources to ensure success of the new performance management program.
	
	 Include as attachments:
	 • Copies of executive communications such as:
	   ❑ Notes or minutes from face-to face meetings conducted with employees and Director.
	   ❑ Letters, email.
	   ❑ Posters.
	   ❑ Newsletters.
	   ❑ Intranet pages.
	   ❑ Notes or minutes from Staff meetings
	 • Copy of confirmation team roster.
		❑ Agency demonstrates a historic culture of performance.
		 ❑ Chief executive has communicated his/her commitment to both a performance management culture and successfully implementing the new performance management program.
		 ❑ Chief executive has communicated his/her commitment to new performance incentive program to employees (if appropriate).
		 ❑ Senior leadership has been actively involved in the development of the agency's current performance management system and the new performance management program.
		 ❑ Agency has allocated adequate resources to successfully implement the new performance management program.		

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2. Readiness Assessment				
N/A	**Organizational Performance Planning** How has your leadership promoted and supported organizational performance planning and results? Your response should describe: • Your process for developing your strategic plan. • Your process for monitoring and reporting performance against goals. • How your process integrates with other planning and assessment systems (GMAP, WSQA, etc.). • The systems you have in place for communicating performance results. Include as attachments: • A copy of your strategic plan. • A copy of your business plan (if applicable). • A copy of your performance measures for each business line in the organization. • GMAP or comparable reports on business goal and performance measure progress. • WSQA application and feedback report (if applicable). • Baldridge application and feedback report (if applicable).	**Organizational Performance Planning** ❑ Agency vision, mission, and values are clearly stated and communicated to all employees. ❑ Agency has a strategic plan with business goals, objectives, and strategies in place. ❑ Agency has performance measures in place for each business line. ❑ Agency has a process for monitoring and reporting performance on: ❑ Strategic plan and business plan goals. ❑ Organizational performance levels. ❑ Comprehensively tracks all permanent employees. ❑ Auditing PDPs for improvement. ❑ Reports compliance to executive management. ❑ Agency integrates the performance management system throughout the organization through activities such as GMAP, balance scorecard, WSQA and other types of assessments (e.g., internal and external audits). ❑ Managers and supervisors communicates agency goals effectively to employees at all levels.		
N/A	**Readiness Assessment Recognition and Reward Systems** What is your organization's experience	**Readiness Assessment Recognition and Reward Systems** ❑ Demonstrated experience recognizing		

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	implementing formal recognition or reward programs? How are they aligned with your business goals and measures?
	
	Your response should describe:
	• Your experience with formal recognition programs.
	• How this experience demonstrates your ability to successfully implement a performance incentive program (if applicable).
	
	Include as attachments:
	Copies of recognition / reward program materials.
		excellent performance.
		❑ The recognition program:
		  ❑ Ties individual contribution to organizational results.
		  ❑ Has defined criteria.
		  ❑ Has a formal process.		

Employee Confidence **First Interim Report** What have you done to address gaps in the employee survey? Your response should describe: • What is your action plan for addressing those gaps? Include as attachments: • A copy of action plan (if necessary) **Third Interim Report** What did your second survey tell you about employee confidence? Your response should describe: • What significant gaps did it reveal? • What is your action plan for addressing those gaps?	**Employee Confidence** How confident are your employees in the organization's ability to manage performance? Your response should describe: • Your survey process. • Your survey results. • Analysis of actions taken to address initial agreement ratings below 65% and overall response rate below 75%. • Your strategy and action plan for continuing evaluation and reporting of employee engagement. Include as attachments: • Completed PMC employee confidence survey(s).	**Employee Confidence** ❑ Completed initial and follow-up surveys using standard DOP instrument. ❑ Surveys administered to all agency employees. ❑ Results are tabulated separately between management and employees. ❑ 65% or more employees indicate agreement on each survey question.(i.e., agree and strongly agree). ❑ 75% or greater overall response rate. ❑ Strategy and action plan for continuing evaluation and reporting of employee engagement (as reported through all-staff employee survey results, etc.).		

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3. Roles & Responsibilities				

Roles & Responsibilities
 First Interim Report
 What modifications are you proposing to existing roles and responsibilities?
 	
 Your response should describe:
 • Tasks accomplished from your action plan.
 • Modifications to your action plan.
 • How you have addressed the gaps identified in your previous analysis.
 • Any new gaps you have identified
 • What new or modified roles and responsibilities you are making to support the new performance management program.
 	
 Include as attachments:
 • Copies of draft policies, procedures, or other documentation outline new or modified roles and responsibilities.
 	
 Second Interim Report
 What did the interim reviews tell you about your assigned roles and responsibilities?
 	
 Your response should describe:
 • What significant gaps did it reveal?
 • What is your action plan for addressing those gaps?
 	
 Include as attachments:
 • A revised copy of assigned roles and responsibilities (if necessary)
	Roles & Responsibilities
	 How have you assigned roles and responsibilities to support successful implementation and maintenance of your new employee performance management program?
	
	 Your response should describe:
	 • New/modified assignments.
	 • How assignments have been communicated.
	 • How they will contribute to the new performance management program.
	 • How they address gaps identified in your previous analyses.
	
	 Include as attachments:
	 • Copies of policies, procedures or other communication that outline roles and responsibilities.
		Roles & Responsibilities
		 ❑ New/modified roles and responsibilities are assigned for:
		   ❑ Executive Management.
		   ❑ Human Resources.
		   ❑ Supervisors.
		   ❑ Employees.
		 ❑ Each person with an assigned role is aware of their role and responsibilities.
		 ❑ Role and responsibility assignments thoroughly address:
		   ❑ Executive Management responsibility for leadership and oversight.
		   ❑ Human resource responsibility for monitoring, reporting, and coaching.
		   ❑ Supervisor responsibility for:
		     ❑ Performance planning.
		     ❑ Feedback, coaching, and evaluation.
		     ❑ Recognizing accomplishment
		     ❑ Taking corrective action when necessary.
		   ❑ Employee responsibility for:
		     ❑ Participating in performance planning.
		     ❑ Achieving performance/competency targets.
		     ❑ Seeking feedback and clarification when necessary.		

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• A copy of revised action plan (if necessary) **Third Interim Report** What did your PDP audit tell you about your assigned roles and responsibilities?? Your response should describe: • What significant gaps did it reveal? • What is your action plan for addressing those gaps?		❑ Correcting poor performance when necessary.		
4. Management Accountability				
Management Accountability **First Interim Report** What modifications are your proposing to existing management accountabilities? Your response should describe: • Tasks accomplished from your action plan. • Modifications to your action plan. • How you have addressed the gaps identified in your previous analysis. • Any new gaps you have identified. • What new or modified management accountabilities you are making to support the new performance management program. Include as attachments:	**Management Accountability** How will your managers and supervisors be held accountable for consistent, equitable, and transparent administration of your new performance management program? Your response should describe: • New/modified accountability standards and practices, including the consequences of poor performance for managers and supervisors. • How new/modified accountability standards, practices and consequences have been communicated to managers and supervisors. • How they will contribute to the new performance management program. • How they address gaps identified in your previous analyses.	**Management Accountability** ❑ Clear accountability standards and practices exist for managers and supervisors. ❑ Managers and supervisors clearly understand consequences for failure to meet performance management responsibilities. ❑ Administrative process in place for tracking manager and supervisor compliance with performance management standards and practices.		

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• Copies of draft policies, procedures, or other documentation outline new or modified management accountabilities. **Second Interim Report** What did the interim reviews tell you about your accountability standards and practices? Your response should describe: • What significant gaps did it reveal? • What is your action plan for addressing those gaps? Include as attachments: • A revised copy of accountability standards (if necessary). • A copy of revised action plan (if necessary). **Third Interim Report** What did your PDP audit tell you about your accountability standards and practices? Your response should describe: • What significant gaps did it reveal? • What is your action plan for addressing those gaps?	• Your monitoring and tracking processes for ensuring compliance. Include as attachments: • Copies of policies, procedures or other communication that outline accountability standards and practices.			
5. Policies and Procedures				
Policies and Procedures **First Interim Report** What modifications are your proposing to existing policies and procedures? Your response should describe:	**Policies and Procedures** How do your policies and procedures support your new performance management program? Your response should describe: • How your salary determination policy (SDP)	**Policies and Procedures** **Policy – Content** **Salary Determination Policy (SDP):** ❑ Describes the organization's general pay philosophy.		

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• Tasks accomplished from your action plan. • Modifications to your action plan. • How you have addressed the gaps identified in your previous analysis. • Any new gaps you have identified. • What new or modified policies and procedures are you making to support the new performance management program. Include as attachments: • Copies of draft policies and procedures. accountabilities. **Second Interim Report** What did the interim reviews tell you about your policies and procedures? Your response should describe: • What significant gaps did it reveal? • What is your action plan for addressing those gaps? Include as attachments: • A revised copy of policies and procedure(s) (if necessary) • A copy of revised action plan (if necessary) **Third Interim Report** What did your PDP audit tell you about your policies and procedures?	and employee performance management (EPM) policy will contribute to the success of your new performance management program. • Your process for developing and implementing your policies and procedures. Include as attachments: • Copy of new SDP. • Copy of new EPM Policy. • Procedures for developing and communicating policies and procedures.	❑ Describes roles and responsibilities of various staff relative to compensation practices and processes. ❑ Describes how base salary and other elements of compensation are determined. **Employee Performance Management (EPM) Policy:** ❑ Describes executive commitment to EPM**.** ❑ Describes linkage between EPM, organizational performance management, and accomplishment of organizational goals. ❑ Describes the principles and purpose of the EPM system. ❑ Describes roles and responsibilities of various staff relative to EPM. **Policy - Process**: ❑ Describes process for drafting policies and procedures. ❑ Describes process for getting feedback and input. ❑ Describes process for communicating new/revised policies and procedures.		

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Your response should describe: • What significant gaps did it reveal? • What is your action plan for addressing those gaps?				
6. Communication Strategy				
N/A	**Communication Strategy** What is your internal communication strategy during implementation of your new performance management program and performance incentive program (if applicable)? Your response should describe: • Your communication strategy, including: • Key 'themes' you intend to communicate to managers/supervisors. • Key 'themes' you intend to communicate to employees. • The significant communication risk areas that you will need to address moving forward. • Contingency plans for eliminating misunderstandings and destructive myths. Include as attachments: • Your action plan (detailing who, what, & when). • Copies of communication so far.	**Communication Strategy** ❑ Completed risk analysis. ❑ Action plan for addressing identified risks (detailing who, what, & when), which includes: ❑ Involvement of executive management, human resources, supervisors, and employees. ❑ Targeted communication to managers/supervisors. ❑ Targeted communication to employees. ❑ Communication throughout agency, across all work units and locations. ❑ Utilization of both formal and informal means of communication. ❑ Linkage with planned training. ❑ Regular updates.		
N/A	**External Stakeholders** What is your strategy for communicating with key external stakeholders (e.g. boards, legislators, regulators, and media) during implementation of your performance	**External Stakeholders** ❑ External stakeholder communication action plan (detailing who, what, & when).		

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	management program? Your response should describe: • How you plan to communicate your intent to implement a performance incentive program with external clients and customers. Include as attachments: • Your action plan (detailing who, what, & when). • Copies of communication so far.			
7. Training & Orientation				

Second Interim Report
What modifications are your proposing to the existing training plan and requirements?
 	
Your response should describe:
• Tasks accomplished from your action plan.
• Modifications to your action plan.
• How you have addressed the gaps identified in your previous analysis.
• Any new gaps you have identified
• What new or modified training requirements you are making to support the new performance management program.
	How does your organization's training plan support your new performance management program?
	
	Your response should describe:
	• Your commitment to training.
	• Your core management/supervisor and employee training requirements.
	• Your process and tools for monitoring compliance.
	• Your current level of compliance.
	
	Include as attachments:
	• Your organization training plan, detailing required training.
	• Your monitoring reports, detailing current compliance with training requirements.
		❑ Demonstrated executive commitment to staff training, including:
		  ❑ Financial resources.
		  ❑ Release time.
		❑ Established training requirements for:
		  ❑ Senior leaders and managers.
		  ❑ Supervisors.
		  ❑ Employees.
		  ❑ New supervisors.
		  ❑ New employees.
		❑ Core training requirements for all employees that include:
		  ❑ Ethics.
		  ❑ Diversity.
		  ❑ Sexual Harassment Prevention.
		❑ Core training requirements for managers and supervisors that include:
		  ❑ Supervisor's essentials or equivalent
		  ❑ Performance Planning and Development.
		  ❑ Job Analysis and PDF writing.		

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		❑ Monitoring and reporting system that:
		  ❑ Comprehensively tracks all permanent employees.
		  ❑ Auditing PDPs for improvement
		  ❑ Reports compliance to executive management.
		❑ Demonstrated 100% compliance with required training.		

Training - PDP
Second Interim Report:
What modifications are you making to your existing PDP training?
 	
Your response should describe:
• What new or modified training curriculum you are developing to support the performance incentive program.
• How these changes address previously identified gaps.
 	
Include as attachments:
• Revised PDP Curriculum.
• PDP training schedule.
	Training - PDP & PIP
	What orientation and training will you provide to employees, supervisors, and managers to implement your new employee performance management program?
	
	Your response should describe:
	• What modifications are you making to your existing PDP training requirements.
	• What training are you implementing to support your performance incentive program (if applicable).
	• Training completion rates for PDP & PIP training conducted.
	
	Include as attachments:
	• Training curriculum and training aids for PDP course.
	• Training curriculum and training aids for performance incentive program course (if applicable).
		Training - PDP
		PDP Curriculum
		❑ PDP training that includes:
		  ❑ How to cascade organizational goals through individual key results expected.
		  ❑ How to distinguish between different levels of performance.
		  ❑ One-on-one assistance from a variety of sources .
		  ❑ Training incorporated into supervisor's IDPs.
		
		Training Requirements
		❑ 100% supervisor PDP course completion.
		❑ Ongoing refresher training:
		❑ Included in new employee and new supervisor orientation.
		❑ Included in supervisors' individual development plans.
		
		Training Completion
		❑ 100% supervisor PDP course		

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		completion.
		
		PIP Curriculum (if applicable)
		❑ Performance incentive program training curriculum that addresses:
		  ❑ Roles and responsibilities.
		  ❑ Processes, criteria, standards, and expectations.
		  ❑ One-on-one assistance from a variety of sources.
		  ❑ Training incorporated into supervisor's IDPs.
		  ❑ Reconsideration process.		

8. PDP Implementation				

PDP – Practices
First Interim Report
What modifications are you making to implement your new employee performance management practices?
 	
How do these modifications address previously identified gaps?
 	
What modifications are you making to your performance management practices to support the performance incentive program? (if applicable)
 	
Your response should describe:
• Your conceptual framework for cascading strategic/business plan goals and organization performance measures down to individual PDP key
	PDP – Practices
	How do your performance planning and evaluation (PDP) **practices** support successful implementation and maintenance of your new performance management program and performance incentive program (if applicable)?
	
	Your response should describe:
	• Your conceptual framework for cascading strategic/business plan goals and organization performance measures down to the individual PDP key results expected.
	• How your framework will ensure:
	  • Key result and competency expectations are written with clear performance measures and standards.
	  • Supervisors link performance evaluations back to performance expectations identified in Part 1 of the
		PDP – Practices
		Framework
		❑ Agency demonstrates framework in place for PDPs which cascade strategic/business plan goals and organization performance measures down to individual PDP key results expected.
		
		Position Description Forms (PDFs)
		❑ Clearly state essential job functions and major job duties.
		❑ Clearly identify knowledge, skills, abilities and behaviors needed for successful job performance.
		
		Performance and Development Plans (PDPs):
		Planning Components (Parts 1,2,3):
		❑ Supervisors set individual job-related		

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results expected.
• How your framework will ensure:
  • Key result and competency expectations are written with clear performance measures and standards.
  • Supervisors link performance evaluations back to performance expectations identified in Part 1 of the PDP.
 	
Include as attachments:
• A copy of model PDPs (plan and evaluation).
• A copy of revised action plan (if necessary).
 	
Second Interim Report
What did the interim reviews tell you about the quality of your current PDP plans?
 	
Your response should describe:
• What significant gaps did it reveal?
• What is your action plan for addressing those gaps?
 	
Include as attachments:
• A revised copy of model PDPs (if necessary).
• A copy of revised action plan (if necessary).
 	
Third Interim Report
What did your PDP audit tell you about the quality of your current PDP plans and your
	PDP.
	
	Include as attachments:
	• A sample of 10 PDP plans from the current evaluation cycle representing a cross-section of employees.
	• A sample of 10 PDP evaluations from the previous evaluation cycle (including the plan from the same evaluation year), representing a cross-section of employees.
		performance expectations that:
		❑ Set expectations with clear performance measures and results which contribute to unit, program, and organizational goals.
		❑ Are specific, measurable, action-oriented, realistic, and time-oriented (SMART).
		❑ Contain position-specific, measurable and observable competencies.
		❑ Employee development plans contain training plans for developing and maintaining key knowledge and skills needed for successful job performance.
		
		Evaluation Components: (Parts 4 & 5)
		❑ Periodic interim reviews conducted to accurately reflect changes to work assignments or special projects.
		❑ Supervisors' feedback:
		  ❑ Measurably distinguishes between unsatisfactory and satisfactory performance.
		  ❑ Links performance results back to performance expectations identified in Part 1 of the PDP.		

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prior year PDP Evaluations? Your response should describe: • What significant gaps did it reveal? • What is your action plan for addressing those gaps?				

PDP – Process
First Interim Report
What modifications have you made to the existing performance planning and evaluation (PDP) process to implement your new PDP practices?
 	
Your response should describe:
• Tasks accomplished from your action plan.
• Modifications to your action plan.
• How you have addressed the gaps identified in your previous analysis.
• Any new gaps you have identified.
 	
What new or modified performance planning and evaluation processes you are making to support the performance incentive program? (if applicable)
 	
Include as attachments:
• Copies of draft policies, procedures, or other documentation outline new or modified performance planning and evaluation processes.
	PDP – Process
	How does your performance planning and evaluation (PDP) **process** support your new performance management program?
	
	How effective are your performance planning and evaluation monitoring/compliance practices?
	
	Your response should describe:
	• Your evaluation cycle, including whether you use a standardized cycle(s).
	• Timeframes for drafting, discussing, submitting, and reviewing plans and evaluations (including how these timeframes are communicated to supervisors and employees).
	• How and when employees are provided either verbal or written feedback and coaching during the evaluation cycle, including interim reviews.
	• Your policies, procedures and tools for monitoring quality and compliance.
	• Your current level of compliance.
		PDP – Process
		❑ Agency has used the PDP to plan and appraise performance for one or more performance cycles.
		❑ Agency has met established timeframes and deadlines for completing the PDP.
		❑ Agency demonstrates use of periodic interim reviews, including at least one mid-term evaluation during the review period.
		❑ Agency has ongoing monitoring and reporting system that:
		  ❑ Tracks 100% completion/compliance rate for:
		    ❑ PDP plans.
		    ❑ Individual development plans.
		    ❑ Performance evaluations.
		    ❑ Current position descriptions.
		    ❑ Supervisor expectations for workforce management.
		  ❑ Comprehensively tracks all permanent employees.
		  ❑ Reports compliance to executive management.
		  ❑ Conducts reviews for PDPs for		

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Second Interim Report What did the interim reviews tell you about your PDP process? Your response should describe: • What significant gaps did it reveal? • What is your action plan for addressing those gaps? **Third Interim Report** What did your PDP audit tell you about your PDP process? Your response should describe: • What significant gaps did it reveal? • What is your action plan for addressing those gaps?	Include as attachments: • HR Management Report detailing current completion rates.	quality and improvement: ❑ Percentage of interim reviews conducted. ❑ Percentage of employees receiving a final performance evaluation.		
9. Funding Approach				
First Interim Report What is your plan for funding the performance incentive program? (if applicable) Your response should describe: • Your estimated costs to fund the program. • Your anticipated funding approach. ☛ Your communications with your OFM budget analyst. Include as attachments: • A copy of the cost analysis and estimates. **Second Interim Report** What modifications are you making to your	**Approach** How will you fund the performance incentive program? Your response should describe: • Your estimated costs to fund the program. • Your funding approach. • Your communications with your OFM budget analyst. • Your process for monitoring and reporting estimated and actual costs to senior management. Include as attachments: • A copy of the cost analysis and estimates. • A copy of the letter from your agency Director	**Approach** ❑ Agency demonstrates a sustainable funding approach: ❑ Funding approved at the Executive level. ❑ Funding approach meets OFM budgetary standards. ❑ Worked with OFM budget analyst to discuss funding options such as: ❑ Set-aside monies allocated during the during the normal allotment process (provided that the set aside does not impact services.) ❑ Actual savings from		

First, Second, & Third Interim Report Questions	Final Application Questions	Final Application Evaluation Standards	Rating (1-5)	Strengths, Weaknesses, Suggested Actions (SA), Required Actions (RA)
funding approach to implement and support your performance incentive program? (if applicable) Your response should describe: • Your revised cost estimates. Include as attachments: • A copy of revised cost analysis and estimates.	certifying funds are available.	efficiencies. ❑ Use of monies saved through actual vacancies. ❑ Use of the General Fund-State Savings Incentive Program (for eligible agencies, for one-time awards only). ❑ Additional funding through legislative or other action. ❑ Prudent cost analysis. **Reporting** ❑ Transparent and ongoing reporting of estimated and actual costs to senior management.		
10. Monitoring & Measuring Success				
Monitoring Plan **First Interim Report** How do you plan to monitor and report on the performance incentive program? (if applicable) Your response should describe: • What information you will monitor, analyze, and report. • How and when you will report your results internally and to DOP. Include as attachments: • A copy of the monitoring action plan (detailing who, what, & when). **Second Interim Report & 4** What modifications are you making to your	**Monitoring Plan** How will you monitor and report on the performance incentive program? Your response should describe: • What information you will monitor, analyze, and report. • The targets for each item you are monitoring • How and when you will report your results internally and to DOP. Include as attachments: • A copy of the monitoring action plan (detailing who, what, & when).	**Monitoring Plan** **Operations** ❑ The agency monitors and has targets for program operations, including: ❑ Nominations – amounts, numbers, percentages, and reasons for nominations. ❑ Awards – amounts, numbers, percentages, and reasons for awards. ❑ Award demographic information (e.g., division breakout, profession line staff/supervisor/management, etc.). ❑ Number and percentage of requests for reconsideration and final resolution.		

First, Second, & Third Interim Report Questions	Final Application Questions	Final Application Evaluation Standards	Rating (1-5)	Strengths, Weaknesses, Suggested Actions (SA), Required Actions (RA)

monitoring plan to support your performance incentive program? (if applicable)
 	
Your response should describe:
• Your revised monitoring action plan (detailing who, what, & when).
 	
Include as attachments:
• A copy of the modified monitoring action plan (detailing who, what, & when).
		Performance
		❑ The agency monitors and has targets for employee performance level impacts.
		❑ The agency monitors and has targets for organizational performance level impacts.
		
		Employee Engagement
		❑ The agency monitors employee engagement levels through pre- and post survey process.
		
		Reporting Process
		❑ The agency has an action plan for analyzing and reporting the status and results of the program both
		  ❑ Internally.
		  ❑ To DOP following distribution of the first year awards (at submit 6) and annually thereafter.		